



JON M. HUNTSMAN, JR.
Governor

GARY R. HERBERT
Lieutenant Governor

State of Utah Department of Commerce

FRANCINE A. GIANI
Executive Director

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Deputy Director

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RE: Series 7 Securities Examination

To Whom It May Concern:

The Utah Division of Securities ("Division") may sponsor an individual to sit for an NASD securities exam. Any state securities examination, including the Series 63, 65, or 66 may be done without the need for state or member organization sponsorship.

In order to sponsor an individual to sit for the examination, the Division requires a written request describing the circumstance(s) or need(s) for the sponsorship. In a request letter, the individual shall acknowledge that they understand the securities exam taken only fulfills an exam requirement and the individual will need to associate with a NASD member firm and license with the state in which they intend to effect securities transactions prior to doing any securities related business.

The individual will then need to contact the NASD at (301) 590-6500 to obtain approval to take the exam and request the proper paperwork. A copy of the Division's sponsor letter needs to be included with the paperwork returned to the NASD. After requesting approval from the NASD, the individual will need to contact a Pearson or Prometric professional testing center.

Appointments can be scheduled through either network:

Pearson Professional Centers: contact Pearson VUE's National Registration Center at 1-866-396-6273 (toll free), or 1-952-681-3873 (toll number) or go to www.pearsonvue.com/nasd for Web-based scheduling.

Prometric Testing Centers: contact Prometric's National Call Center at 1-800-578-6273 (toll free) or go to www.prometric.com/nasd for Web-based scheduling.

If you have any questions regarding the sponsorship of this individual, please contact the undersigned at (801) 530-6600.

Sincerely,

George A Robison
Director of Licensing